



# The National Science Foundation Office of Polar Programs United States Antarctic Program

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## Information Resource Management Directive 5000.3 USAP Information Categorization

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### 1. PURPOSE

This directive establishes Information Categories for information resources supporting the National Science Foundation (NSF) Office of Polar Programs (OPP), United States Antarctic Program (USAP).

### 2. BACKGROUND

Federal information technology regulations require USAP information, and the information systems on which it resides, to be categorized to ensure proper protection of sensitive material (FIPS 199, December 2003). Information categories allow system administrators and program managers to apply proper safeguards to protect the confidentiality, integrity, and availability of information processed by USAP information resources. Categorization also aids management in determining system priorities for allocation of support resources during normal operations and in times of crisis.

### 3. GUIDING PRINCIPLES

- Consistent with federal law, and USAP operational needs, information will be made available to those who need to use it.
- Information categories based on federal guidance will support science and operations activities.

### 4. POLICY

Information is categorized according to its information type. An information type is a specific category of information, such as medical, privacy, or proprietary. All information created, processed, stored, or disseminated using USAP information resources will be categorized by the information owner using the guidance presented in NIST Federal Information Processing Standard 199, *Standards for Security Categorization of Federal Information and Information Systems* and in NIST Special Publication 800-60, *Guide for Mapping Types of Information and Information Systems to Security Categories*.

#### 4.1 Information Categorization by Type

Information used within the USAP can be assigned to one of two categories. Agency-specific information includes both mission information and information associated with the mechanisms that the government uses to achieve its missions (NIST SP 800-60). Agency –common information types are those types of information associated with the agency's support functions necessary to conduct government and the resource management functions that support all areas of the government's business (NIST SP 800-60). All information collected, processed, stored and disseminated using USAP information resources will be placed in one of these two categories.

#### 4.2 Analysis of Information Categories

NIST SP 800-60 identifies several categories and sub-categories of agency-specific and agency-common information, some of which do not apply to the USAP. The USAP Information Security Manager will conduct an analysis of USAP information and information systems to determine which agency-specific and agency-common categories apply within the USAP. This analysis will be updated every two years, or when significant changes occur in the guidance, or in the USAP. USAP information owners and information systems managers will use this analysis to guide their categorization efforts.

#### 4.3 Information Categorization by Security Criteria

Using FIPS 199 and SP 800-60, information owners will determine the security category of their information based on the potential impact the unauthorized use of the information could have on USAP operations. The ISM will assist information owners in the application of NIST guidelines to their systems. The ISM will maintain a record of the categories assigned to USAP information resources, and reviews this list annually to ensure accuracy.

#### 4.4 Information Access and Release

The information owner, working with the ISM, determines who has access to their information, and under which circumstances the information may be released.

### 5. APPLICABILITY AND COMPLIANCE

This policy applies to all information resources, systems, and technology and to all users of these resources, systems and technology within the USAP operating environment or connected to the USAP information infrastructure. Compliance with this policy is as indicated in USAP Information Security Policy 5000.1, *The USAP Information Security Program*.

### 6. RESPONSIBILITIES

In addition to the responsibilities set forth in USAP Information Security Policy 5000.1, The USAP Information Security Program, several elements have responsibilities related to information categorization.

#### 6.1 USAP Information Security Manager

The USAP Information Security Manager (ISM) develops and implements the Information Categorization process, and assists information owners with the categorization of their information. The ISM maintains a record of the categories assigned to USAP information resources, and reviews this list annually to ensure accuracy

#### 6.5 USAP Information Owners

Information owners determine the category of their information based on the type of information, and the impact the unauthorized use of the information could have on USAP operations. Information owners must designate a category for all information they create, process, store or disseminate using USAP information resources.

### 7. INFORMATION CATEGORIZATION IMPLEMENTATION.

The USAP will develop appropriate, processes, standards, and procedures to implement this policy. USAP organizational elements will publish procedures as appropriate to implement specific tasks needed to comply with this policy.

#### 7.1 Information Categorization Process

The USAP Information Security Manager (ISM) will establish a process to categorize information for the NSF-funded information systems used within the program. The process will include procedures for information owners to properly categorize information to enhance its confidentiality, integrity, and availability. The USAP Information Categorization process will be based on existing federal and NSF directives, including NIST FIPS 199 and NIST SP 800-60.

## 7.2 Categorization of USAP Information Systems

The Information Categorization process will be applied to all USAP systems as part of the Information Security Certification and Accreditation process. New information systems under development will include documentation of the information categories in their System Security Plan. Existing information systems will incorporate information categories into their System Security Plan at the point in time when the plan is revised or updated. All USAP information systems will have information categories included in their System Security Plans within three years of the date of this policy.

## 7.3 Policy Review

The USAP Information Security Program Manager will review this policy in conjunction with major changes to the information infrastructure, as part of the USAP's participation in agency security audits, after each breach in system security, or every two years. The ISM will submit policy changes and new policies for review and approval by NSF OPP

## 8. AUTHORITY.

Publication of this policy is in conformance with the authority of the National Science Foundation Act of 1950, as amended and extended, the Federal Information Security Management Act of 2002 and NSF Manual 7, The NSF Information Security Handbook.

KARL A. ERB  
Director